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# INTRODUCTION

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The National Performance Review (NPR) called for federal Inspectors General (IGs) to take a number of actions to improve their ability to help foster better government. The NPR recommended, in part, that the IGs: (1) shift their strategic focus from conducting compliance reviews to evaluating management control systems; and (2) conduct their reviews in a more collaborative manner with line management.

The Government Performance and Results Act of 1993 (GPRA) also contains concepts of key significance for IGs. GPRA is intended to (1) improve federal program effectiveness and public accountability and (2) help federal managers improve service delivery by requiring them to plan to meet program objectives and provide information on program results.

The role of the Office of Inspector General (OIG) is changing in response to these initiatives. Given traditional responsibilities and new customer-focused interests, the National Archives and Records Administration (NARA) OIG has defined:

- a new mission;
- strategic goals and objectives that support the mission;
- strategies for achieving the goals and objectives; and
- performance measures to gauge whether progress is being made.

Many of the performance measures employed by this plan are new and no baseline exists to begin measurement. In addition, at the time this Plan was drafted, the agency had not yet finalized its strategic goals and objectives. As NARA completes these efforts, and as we are able to assemble baseline information on OIG activities, we will be able to iteratively refine this strategic plan.

# OFFICE OF INSPECTOR GENERAL

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## **AUTHORITY AND RESPONSIBILITY**

The Inspector General Act of 1978, as amended, established the OIG's independent role and general responsibilities. The Inspector General reports to both the Archivist and the Congress. The OIG evaluates NARA performance, makes recommendations for improvements, and follows up to ensure economical, efficient, and effective operations and compliance with laws, policies, and regulations. In particular, the OIG:

- Assesses the effectiveness, efficiency, and economy of NARA programs and operations;
- Recommends improvements in policies and procedures to enhance operations and correct deficiencies;
- Recommends cost savings through greater efficiency and economy of operations, alternative use of resources, and collection actions; and
- Investigates and recommends legal and/or management actions to correct fraud, waste, abuse, or mismanagement.

# OFFICE OF INSPECTOR GENERAL

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## ORGANIZATION

The OIG is presently organized into two units: the Audits Group and the Investigations Group. The OIG also has a part-time Counsel to the Inspector General on staff to provide internal legal guidance.

- The Audits Group conducts and coordinates audits of NARA programs and operations, in accordance with the Government Auditing Standards promulgated by the Comptroller General of the United States. Audits address the management and financial operations of NARA, the economy and efficiency with which NARA's programs and functions are managed, and the results achieved. Audits assess the extent to which NARA complies with laws, regulations, and policies in implementing programs, the extent to which programs are managed effectively and efficiently, and the accuracy and reliability of financial statements.
- The Investigations Group performs investigations of alleged criminal, civil, and administrative misconduct related to NARA programs and operations, in accordance with the Quality Standards for Investigations published by the President's Council on Integrity and Efficiency. It is responsible for examining allegations, reports, and other information that could indicate a violation of law or regulations. In accordance with statutory requirements, the Investigative Group refers criminal violations to the Department of Justice for prosecution.

The OIG presently offers some program assistance services to NARA staff. However, as we implement this Strategic Plan, we intend to explore the expansion of these services, as well as the identification and development of new types of activities we might undertake to benefit our customers.

# STRATEGIC PLANNING RESULTS

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## VISION

We have adopted the Inspectors General Vision Statement, which all federal IGs agreed to in January 1994:

*We are agents of positive change striving for continuous improvement in our agency's management and program operations, and in our own office.*

## MISSION

The OIG's mission is to help NARA ensure ready access to essential evidence by providing high quality, objective audits and investigations, and serving as an independent internal advocate for economy, efficiency, and effectiveness.

## STRATEGIC GOALS

In developing this strategic plan, we reviewed NARA's mission, as well as work performed to date on the agency's still-in-process strategic goals and objectives. We also studied GPRA concepts and initiatives. Keeping the OIG mission listed above in mind, we then conducted several work sessions designed to develop and articulate strategic goals and the objectives, implementing strategies, and performance measures that support those goals. The purpose of the work sessions was to build consensus, ensuring that each member of the OIG staff would understand the goals and support them.

The following represents our three core goals with their associated objectives, strategies, and performance measures as they are viewed at this point in time. The OIG staff members understand that strategic planning is an evolving process, and that this plan will further develop over time.

# STRATEGIC PLANNING RESULTS

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**Goal:** *To become customer driven to provide products and services of significant benefit to our customers, while ensuring the independence and objectivity of our work.*

In the past, the OIG has not always explicitly identified the customers of its products and services. We must develop a stronger customer focus in order to furnish maximally useful audits, investigations, and other reviews, while maintaining our independent and impartial perspective. We have a broad customer base which includes the Congress, the Archivist, NARA managers and staff, the IG community at large, the Department of Justice, other Federal, state, and local law enforcement agencies, the Office of Special Counsel, the Office of Government Ethics, and last, but not least, the general public. Our principal customers for each of our products and services will likely vary by assignment, and will be identified as each assignment is started.

Two objectives providing a customer focus have been developed to support this goal.

**Objective 1:** By 2002, to have at least 75%\* of the OIG's products and services be of significant benefit to one or more of our principal customers.

\*The 75% target has been set to allow for work efforts devoted to assignments which, while productive and necessary, may not always lead to a final product or service - for example, audit survey work.

**Strategies:** Use customer feedback in planning and performing OIG work by:

- Instituting the use of internal/external customer feedback mechanisms for all engagements, such as:
  - Customer Surveys
  - Exit Conferences/Outbriefings

- Working interactively with the customer

Conduct annual follow-up reviews to assess actual implementation of recommendations.

## **Performance**

### **Measures:**

We will measure the effectiveness of these strategies by monitoring the percentage of:

- Positive responses or comments from customers on OIG's work.
- Recommendations actually implemented as assessed during follow-up sessions.

### **Objective 2:**

By 2002, to have at least 25% of our audit assignments or consulting services be requested by the customer.

### **Strategies:**

During development of the annual Audit Plan/Fraud Prevention Survey (FPS) schedule, solicit ideas for engagements from potential customers.

At the beginning of each engagement, discuss opportunities to expand the scope of the assignment with the customer.

Promote available OIG consulting services.

## **Performance**

### **Measures:**

Measure the effectiveness of these strategies by monitoring the percentage of:

- Assignments requested by the customer or scopes expanded as a result of customer request.
- Assignments completed within agreed-upon time frames.

# STRATEGIC PLANNING RESULTS

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**Goal:** *To increase OIG's positive impact on the agency's achievement of its mission and goals*

In the interests of improving program effectiveness, public accountability, and service delivery, GPRA demands that federal agencies focus on results. The OIG must concurrently direct its efforts towards issues which are closely associated with NARA's mission and goals. In doing so, we expect to expand our use of performance audits and proactive investigations, as well as offer a broader range of consulting services. Performance audits, as defined in the Government Auditing Standards, provide independent assessments of the performance of a government organization, program, activity, or function in order to provide information to improve public accountability and facilitate decision-making by parties with responsibility to oversee or initiate corrective action. Proactive investigations are those which are initiated by the OIG, for example in response to trend analysis, as opposed to those which are initiated upon receipt of a complaint.

We have developed three objectives which target and channel OIG work efforts in this direction, and expect to further refine these objectives when NARA finalizes its initial strategic goals.

**Objective 1:** By 2002, to focus 100% of discretionary audits\* on areas which have the greatest likelihood of impacting the achievement of NARA's strategic goals.

\*This may not include mandatory audits, or audits undertaken at Congressional request.

**Strategies:** Conduct more performance audits.

Become more familiar with NARA processes.

More clearly describe and map audit activities to Agency goals and objectives.



## **Performance**

**Measures:** Measure the effectiveness of these strategies by measuring the percentage of:

- Performance audits with direct mission relationship.

**Objective 2:** By 2002, maximize the amount of available investigative resources spent on more significant cases and/or proactive investigations.

**Strategies:** Employ uniform criteria by which cases without merit could be terminated with minimal staff effort.

## **Performance**

**Measures:** Measure the effectiveness of these strategies by measuring the percentage of:

- Proactive investigation activities.
- Significant reactive investigations.
- Time per investigative activity by type.

**Objective 3:** By 2002, define, offer, and conduct a full range of consulting services.

**Strategies:** Develop a business plan to market and capture consulting engagements\* such as:

- OIG briefings
- Fraud Awareness Briefings
- Fraud Prevention Surveys
- Participation at NARA meetings and workgroups

\* Other consulting services may be added in the future.

# STRATEGIC PLANNING RESULTS

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## **Performance**

**Measures:** Measure the effectiveness of these strategies by measuring the:

- Percentage of time spent on consulting engagements by type.
- Number of surveys and briefings conducted.

# STRATEGIC PLANNING RESULTS

**Goal:** *Improve the timeliness and quality of OIG performance by adopting the most efficient, effective, and innovative business processes.*

The first two goals show our commitment to a customer focus and our desire to increase our positive impact on NARA's achievement of its mission and goals. In order to accomplish these endeavors effectively and efficiently, we must first look inward to refine our current business processes and practices, and improve our use of available technological advances. Three specific objectives are now in place to address processes, procedures, and organizational considerations.

**Objective 1:** To have reviewed 100% of our core processes by 2002, and streamlined these processes as necessary.

**Strategies:** Identify OIG core processes and evaluate for retention, elimination, or enhancement.

Utilize benchmarking or best practices implementation to identify procedures from other organizations for adaptation within the OIG.

Modify retained core processes as required.

Add new core processes as required.

## Performance

**Measures:** Measure the effectiveness of these strategies by measuring the:

- Percentage of processes reviewed and, if necessary, revised or streamlined.
- Amount of time new processes take versus old processes.

# STRATEGIC PLANNING RESULTS

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**Objective 2:** By 1999, realign the structure of the staff to accommodate contract support, cross-training, and less rigid roles, while taking into consideration NPR initiatives on staffing and supervisory levels.

**Strategies:** Utilize external support for specialized services.

Determine ways that current staffing could be matrixed to allow for greater flexibility in OIG work assignments.

Develop staff training plans.

## **Performance**

**Measures:** Measure the effectiveness of these strategies by measuring the:

- Instances of externally performed services.
- Number of staff that are cross-trained.
- Percentage of assignments staffed by cross-trained/cross-utilized staff.

# PLAN RECAP/MATRIX

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The following chart includes a recap of our strategic goals, objectives, strategies, and performance measures. It also includes information on the sources of data we plan to use in implementing a performance measurement system. In addition, in our strategic plan work sessions, we began the development of specific planning milestones which would enable us to implement this plan. These milestones may be modified as our goals and objectives evolve over time. Details on the OIG's yearly priorities will be contained in our annual workplan. In addition, we will annually report on our performance relative to our strategic goals and objectives.

We recognize that in putting our strategic plan into action, a significant up-front investment of time and resources will be required. We also recognize that some objectives may be achieved over a longer time period than others, and that we will need to balance our resources in determining which strategies to undertake first. During the start-up phase, we will continue to fulfill our statutory responsibilities under the IG Act, and will ensure that we continue to react promptly to requests for assistance from Congress, the Archivist, and other customers.

# GLOSSARY

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## GLOSSARY OF TERMS

<b>Mission:</b>	An enduring statement of purpose. The organization's reason for existence. Describes what the organization does, who it does it for, and how it does it.
<b>Performance Measure:</b>	An indicator that measures the progress of an organization towards satisfaction of its goals and objectives.
<b>Strategic Goal:</b>	A long-range change target that guides an organization's efforts in moving toward a desired future state.
<b>Strategic Objective:</b>	A broad time-phased measurable accomplishment required to realize the successful completion of a strategic goal.
<b>Strategies:</b>	Approaches or implementation methodologies which lead to achieving strategic objectives. The means by which an objective is achieved.
<b>Vision:</b>	An idealized view of a desirable and potentially achievable future state - where or what an organization would like to be in the future.